

COVER SHEET FOR AMENDMENT OF POST-TRAVEL SUBMISSION

Date/Time Received
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SECRETARY OF THE SENATE
PUBLIC RECORDS
2018 SEP 20 PM 4:51

Instructions: Use this form as a cover sheet for any paperwork you may need to submit to the Office of Public Records in order to make your Privately Sponsored Post-Travel Submission complete in accordance with Rule 35. **Only complete this form if you need to submit an amendment to a post-travel filing you have already submitted.**

SUBMIT DIRECTLY TO THE OFFICE OF PUBLIC RECORDS IN 232 HART BUILDING

Name of Traveler: Christian Brose

Employing Office/Committee: Senate Armed Services Committee

Travel Expenses Paid by (List all sources): The Aspen Institute

Travel Date(s): August 3-7, 2018

Description/Title of Attached Forms: 1) Amended Form RE-2

2) The original Form RE-1

3) The Private Sponsor Travel Certification Form

4) Trip Itinerary

Purpose of Amendment (describe the reason for amending original submission): Clarifying that no family members joined the official itinerary or incurred expenses, and to correct the submitted Private Sponsor Travel Certification Forms and Trip Itineraries.

9/20/2018

(Date)

CR

(Signature of Traveler)

Employee Post-Travel Disclosure of Travel Expenses

Date/Time Stamp:

Post-Travel Filing Instructions: Complete this form within **30 days** of returning from travel. Submit all forms to the **Office of Public Records in 232 Hart Building**.

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☐ The original *Employee Pre-Travel Authorization* (Form RE-1), **AND**
☐ A copy of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): The Aspen Institute

Travel date(s): August 3-7, 2018

Name of accompanying family member (if any): _____

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING **DID NOT INCREASE** DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

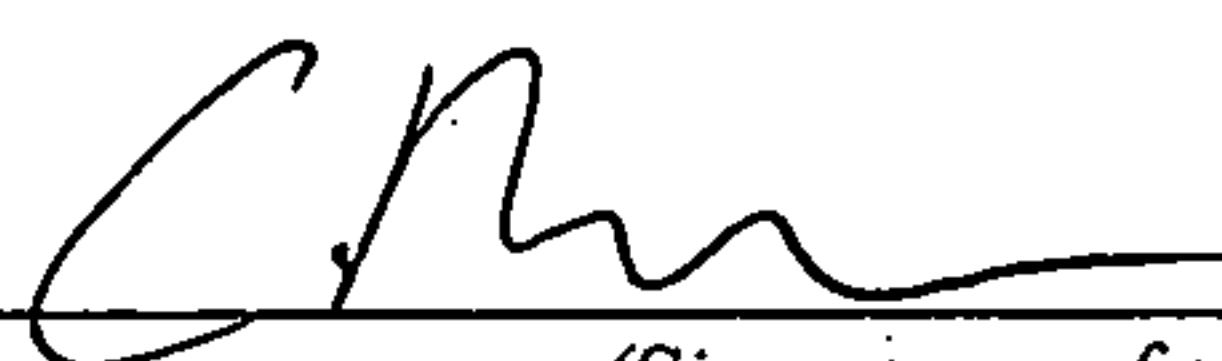
Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate	\$481.80	\$322.77	\$0.00	\$0.00
<input checked="" type="checkbox"/> Actual Amount				

Expenses for Accompanying Spouse or Dependent Child (if applicable):


	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate				
<input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.): See attached itinerary

9/20/18 Christian Brose 
(Date) (Printed name of traveler) (Signature of traveler)

TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

9/20/18 
(Date) (Signature of Supervising Senator/Officer)

Date/Time Stamp:

EMPLOYEE PRE-TRAVEL AUTHORIZATION

Pre-Travel Filing Instructions: Complete and submit this form at least 30 days prior to the travel departure date to the Select Committee on Ethics in SH-220. Incomplete and late travel submissions will not be considered or approved. This form must be typed and is available as a fillable PDF on the Committee's website at ethics.senate.gov. Retain a copy of your entire pre-travel submission for your required post-travel disclosure.

ETHIC JUL 27 18PM 4:24

Name of Traveler: Christian Brose

Employing Office/Committee: Senate Armed Services Committee

Private Sponsor(s) (list all): The Aspen Institute (Aspen Strategy Group)

Travel date(s): August 3-6, 2018

Note: If you plan to extend the trip for any reason you must notify the Committee.

Destination(s): Aspen, Colorado

Explain how this trip is specifically connected to the traveler's official or representational duties:

As Staff Director, I am responsible for advising Chairman McCain on all issues of U.S. defense and foreign policy, and overseeing the strategic guidance of the Senate Armed Services Committee. My attendance at this conference will allow me to interact and hear from the top strategic minds in U.S. foreign policy, gain insights and information on strategic trends, and discuss how the Committee's work will interact with other parts of U.S. government work on foreign and defense policy with other major thinkers and practitioners.

Name of accompanying family member (if any): None

Relationship to Employee: ☐ Spouse ☐ Child

I certify that the information contained in this form is true, complete and correct to the best of my knowledge:

7/2/2018
(Date)

Christian Brose
(Signature of Employee)

TO BE COMPLETED BY SUPERVISING SENATOR/OFFICER (President of the Senate, Secretary of the Senate, Sergeant at Arms, Secretary for the Majority, Secretary for the Minority, and Chaplain):

I, Senator John McCain hereby authorize Christian Brose
(Print Senator's/Officer's Name) (Print Traveler's Name)

an employee under my direct supervision, to accept payment or reimbursement for necessary transportation, lodging, and related expenses for travel to the event described above. I have determined that this travel is in connection with his or her duties as a Senate employee or an officeholder, and will not create the appearance that he or she is using public office for private gain.

I have also determined that the attendance of the employee's spouse or child is appropriate to assist in the representation of the Senate. (signify "yes" by checking box) ☐

7/2/2018
(Date)

John McCain
(Signature of Supervising Senator/Officer)

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

-
1. Sponsor(s) of the trip (please list all sponsors): The Aspen Institute (Aspen Strategy Group)
 2. Description of the trip: Attend the Aspen Institute's Aspen Strategy Group's annual summer workshop, a non-partisan foreign policy conference.
 3. Dates of travel: August 3 - 6, 2018
 4. Place of travel: Aspen, CO
 5. Name and title of Senate invitees: Christian Brose, Staff Dir., Armed Services Cmte; see attached
 6. * I *certify* that the trip fits one of the following categories:
 - ☒ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal **and** do not retain or employ registered lobbyists or agents of a foreign principal **and** no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.
 - OR –
 - ☐ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
 7. ☒ I *certify* that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.
 - AND –
 - ☒ I *certify* that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
 8. I *certify* that:
 - ☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.
 - AND –
 - ☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).

9. **USE ONLY IF YOU CHECKED QUESTION 6(B)**

I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and **one** overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

– OR –

☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and **two** overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (*see questions 6 and 10*).

– OR –

☐ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. **USE ONLY IF YOU CHECKED QUESTION 9(B)**

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

11. ☒ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

The Aspen Institute's Aspen Strategy Group (ASG) hosts their summer workshop conference annually each August. The ASG staff plans, organizes and conducts the ASG summer workshop, including its agenda, programming/content, production, reading materials, speaker and attendee logistics.

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

The Aspen Institute is an education and policy studies non-profit organization. Its mission is to foster leadership based on enduring values and provide a nonpartisan forum for the exchange of ideas and dealing with critical issues. (See attachment)

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

The Aspen Institute has over a 40 year history of conducting non-partisan educational forums, which include congressional trips specifically through our Congressional Program. The Aspen Strategy Group has previously hosted members of Congress and Congressional staffers at their summer workshops.

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15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

The Aspen Institute holds many educational activities annually, including conferences, roundtables, briefings, and other non-partisan forums on critical issues facing the US and the world. ASG conducts educational forums, conferences, roundtables & briefings on US foreign policy & national security issues.

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate	\$1,000 (coach airfare)	\$870 (\$290 per night for three nights)	\$80 (dinner); breakfast and lunch are included in conference meeting package	\$495 (\$165 per day conference meeting package)
<input type="checkbox"/> Actual Amounts				

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

The trip involves an event that is arranged without regard to congressional participation.

18. Reason for selecting the location of the event or trip

The Aspen Institute's campus and conference center in Aspen is home to the Aspen Strategy Group's workshop annually. It is cost efficient as the Institute's ownership enables us to access reasonable rates.

19. Name and location of hotel or other lodging facility:

The Aspen Meadows Resort, 845 Meadows Road, Aspen, Colorado 81611.

20. Reason(s) for selecting hotel or other lodging facility:

The Aspen Meadows Resort can accommodate our participants' lodging and our conference meeting space for the workshop, thus maximizing participation and experience. It also offers safety and security for attendees. The Meadows provides one of the more affordable options at the height of the summer season in Aspen.

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21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

The lodging rate exceeds the per diem rate for Pitkin County, Colorado. The workshop is organized

without regard to congressional participation and all attendees are provided the same lodging, meals, and materials.

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

Coach airfare will be provided.

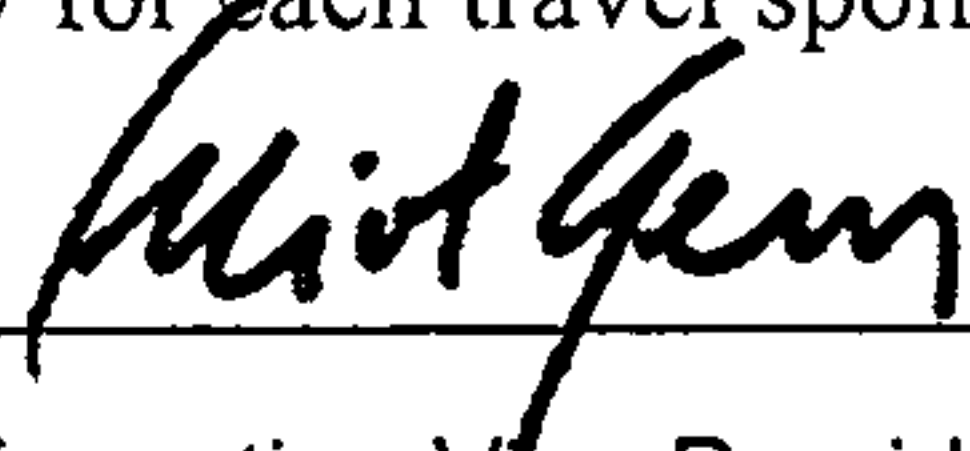
23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

N/A

25. I hereby *certify* that the information contained herein is true, complete and correct. (You must include the completed signature block below for each travel sponsor.):

Signature of Travel Sponsor:



Name and Title: Elliot Gerson, Executive Vice President, Public and Policy Programs

Name of Organization: The Aspen Institute

Address: 2300 N Street, Suite 700, Washington DC 20037

Telephone Number: 202-736-5859 (Lisa Jones, Deputy General Counsel)

Fax Number: 202-467-0790

E-mail Address: lisa.jones@aspeninstitute.org



aspen strategy group

Primary Trip Sponsor Senate Form Attachment
The Aspen Institute, Inc. (Aspen Strategy Group)

1. Briefly describe the role of each sponsor in organizing and conducting the trip: The Aspen Institute Aspen Strategy Group (ASG) is the sole organizer and sponsor of the summer workshop conference. The ASG has received general program support and unrestricted funds from the Center for the Study of Democratic Institutions, the McKinsey & Company Inc, the Resnick Foundation, the Rosenkranz Foundation and from the Markle Foundation and Stanton Foundation for the ASG summer workshop. The funds were not earmarked for this trip. The organizations providing funding did not play a role in planning the conference or content of the workshop, including but not limited to the attendees, agenda, speakers, or other logistics.

5. Name and title of Senate invitees:

Senator Mark Warner (invited; not confirmed)
Senator Dan Sullivan (invited; not confirmed)
Senator Todd Young (invited; not confirmed)

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission: The Aspen Strategy Group's mission is to provide a bipartisan forum to explore the preeminent foreign policy challenges the United States faces. Its cross-disciplinary and high-level examination of policy strategies for addressing preeminent and emerging topics makes it crucially relevant to the American and global policy communities. This summer workshop is a 3-day non-partisan convening that is the flagship offering of the Aspen Strategy Group. It consists of in-depth moderated dialogues where each session is tied to the over-arching foreign policy theme of the workshop.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips): These ASG activities are typically offered to a select group of federal and state policy makers, former government officials, policy experts, academics, and members of the press.

16. Total Expenses for Each Participant:

Transportation: \$1,000 roundtrip coach airfare

Aspen is covering the cost for coach roundtrip airfare, estimated to be approximately \$1,000, which is an increase over the \$850 referenced initially in the invitation to the event, as unfortunately summer prices are higher than usual this year. It was the Aspen Strategy Group's intent to cover the cost of one coach roundtrip ticket within reason, likely up to approximately \$1,000.



aspen strategy group

TECHNOLOGY AND NATIONAL SECURITY
August 3-7, 2018 · Aspen, Colorado

FRIDAY, AUGUST 3 — ARRIVAL DAY

4:05pm-6:00pm

Chris Brose travels on United Flight 2104 Washington, DC to Denver.

6:55-7:49pm

Chris Brose travels on United 5874 Denver to Aspen.

SATURDAY, AUGUST 4 — DAY 1

8:00–9:00 a.m.

Hines Room (Breakfast is Served)

Ernest R. May Memorial Lecture:

Technology and Public Purpose: Reflections on the Dilemmas of Tech and Possible Solutions

This annual lecture sets the stage for the overall theme of each summer workshop and provides important historical context for the discussions during the remainder of the meetings. This year's theme is technology and national security.

This lecture will begin with some historical examples of "disruptive" technological change and the conditions that led to successful or unsuccessful adaptation. It will then explore some possible solutions to today's dilemmas in the digital sciences (e.g., social media, AI), the biological sciences (e.g., genome editing), and jobs and training areas (e.g., driverless cars).

Speaker: Ash Carter

9:15–9:45 a.m.

Booz Allen Hamilton Room

Welcome and Setting the Scene

Opening Remarks

- JOSEPH NYE & CONDOLEEZZA RICE

Statement of Purpose & Comments on the Agenda

- NICHOLAS BURNS

9:45a.m.-1:00 p.m.

Session I: TECTONIC SHIFTS: TECHNOLOGICAL CHANGES SHAPING THE INSTRUMENTS OF AMERICAN POWER

Tutorial session introducing those technologies central to US military and economic power including artificial intelligence, machine learning, quantum computing

Presenters:

- Richard Danzig (Confirmed)
- Jason Matheny, IARPA (Confirmed)

1:00—2:30 p.m.

Working Lunch: TECHNOLOGICAL CHANGE AND THE FUTURE OF WORK

How will technological change and its impact on the future of work affect the economy, geopolitics, and our democracy?

Speakers: Penny Pritzker, Chairman and Founder, PSP Partners, Diana Farrell, President & CEO, JPMorgan Chase Institute, and Zoë Baird, CEO and President, Markle Foundation (Confirmed)

5:00-6:15 p.m.
Greenwald Pavilion

Optional Summer Celebration Public Discussion – **Tickets Required**

SUNDAY, AUGUST 5 – DAY 2

7:00–9:00 a.m.
Meadows Restaurant

Open breakfast

9:00–11:00 a.m.
Booz Allen Hamilton Room

Session II: TECHNOLOGY AND THE THREAT TO DEMOCRACIES
How is technology evolving and becoming more threatening—including “Deep fakes”? How do we defend against Russian cyber and disinformation campaigns? What lessons can the US take from Europe on resisting disinformation? What is the role of private companies?
Paper Authors*:
• Eric Rosenbach (Confirmed)
• Laura Rosenberger (Confirmed)
• Jared Cohen (Confirmed)
Commenter:
• Fran Townsend (Confirmed)

11:00–11:15 a.m.

Break

11:15 a.m.–1:00 p.m.

Session III: DEFENSE IN THE 21ST CENTURY: THE FUTURE CHARACTER OF CONFLICT
How will emerging technologies fundamentally change core defense missions and tasks? How must we respond as innovation is increasingly funded by, and derived from, commercial sources? How should we think about lethal autonomous weapons (LAWS), and the stated desire to always have a person in the loop?
Paper Authors:
• John Dowdy (Confirmed)
• Chris Brose (Confirmed)
Strategic Intervention:
• Andrea Thompson (Confirmed)
Commenter:
• Michèle Flournoy, Co-Founder and Managing Partner, WestExec Advisors (Confirmed)

1:15–2:45 p.m.

Working Lunch: AMERICA’S GLOBAL LEADERSHIP CRISIS
A Conversation with MADELEINE ALBRIGHT, PETER FEAVER, MEGHAN O’SULLIVAN, and JIM STEINBERG.
Moderator: NICHOLAS BURNS

*Paper authors prepare a brief article on the session topic which is used as a discussion tool for the session, updated post session and included in a printed report on the Workshop.

7:00–9:30 p.m.
Art Barn, Rosenkranz Home
Red Mountain

ASG Dinner on *Technology and Power Laws for our Global Future*
Hosted by Robert Rosenkranz and Alexandra Monroe
Keynote Speaker – Eric Schmidt (Confirmed)
What does the international security community need to understand about the future of AI? What are the asymmetries that present a diplomatic more than technological problem (e.g. China AI vs. Western AI)? Where do relationships between companies and the USG need to go in order to meet these challenges?

MONDAY, AUGUST 6 — DAY 3

7:00–8:00 a.m.
Meadows Restaurant

Open breakfast

9:00 – 11:00 a.m.

Individual discussions: Participants meet individually or in small groups with speakers and moderators for in-depth discussion of ideas raised in the earlier sessions.

12:00 – 1:00 p.m.

Open lunch

1:00–3:00 p.m.
Booz Allen Hamilton Room

Session IV: CHINA: THE TECH REVOLUTION AND THE BALANCE OF POWER

What are Chinese goals and what is the risk they will set the norms and standards for these technologies? How do we respond to China without undercutting our openness and values? How should the US manage the IP challenges and the role of CFIUS in reviewing sensitive deals.

Paper Authors:

- John Deutch (Confirmed)
- Amy Webb (Confirmed)

Commenters:

- Tom Donilon (Confirmed)
- Mike Green (Confirmed)

3:00-3:15 p.m.

Break

3:15–5:00 p.m.
Booz Allen Hamilton Room

Session V: MAINTAINING AMERICA’S TECHNOLOGICAL EDGE

How can we secure and foster the sources of America’s innovation that live outside the government--corporate entities, universities, and labs? Is the government adequately investing in key technologies and properly configured to adapt to the pace of technological change?

Paper Author:

- Walter Isaacson (Confirmed)

Strategic Intervention

- Jim Baker (Confirmed)

Commenter:

- Howard Cox (Confirmed)

5:00–5:30 p.m.
Booz Allen Hamilton Room

Conclusions and Recommendations

Led by Joseph Nye, Condoleezza Rice, and Nicholas Burns

End of Conference and activities covered under privately sponsored travel by Aspen Institute Aspen Strategy Group; no further expenses covered by ASG

Departing flight: Tuesday, August 7

United 5430 (9:35am-10:32am, Aspen to Denver), United 339 (11:20am-1:17pm, Denver to Seattle)